

|   |                               |                 |
|---|-------------------------------|-----------------|
| <b>DECLARATION FOR UTILITY OR<br/>DESIGN<br/>PATENT APPLICATION<br/>(37 CFR 1.63)</b><br><br><input checked="" type="checkbox"/> Declaration<br>Submitted<br>with Initial<br>Filing<br><br><input type="checkbox"/> Declaration<br>Submitted after Initial<br>Filing (surcharge<br>(37 CFR 1.16 (e))<br>required) | <b>Attorney Docket Number</b> | 06062P USA      |
|   | <b>First Named Inventor</b>   | Rabasco, et al. |
|   | <b>COMPLETE IF KNOWN</b>      |                 |
|   | <b>Application Number</b>     | /               |
|   | <b>Filing Date</b>            |                 |
|   | <b>Group Art Unit</b>         |                 |
|   | <b>Examiner Name</b>          |                 |

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

POLYMER EMULSION PRESERVATION USING CATIONIC COMPOUNDS

(Title of the Invention)

the specification of which

☒ is attached hereto

OR

☐ was filed on (MM/DD/YYYY)

as United States Application Number or PCT International

Application Number and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

| Prior Foreign Application<br>Number(s) | Country | Foreign Filing Date<br>(MM/DD/YYYY) | Priority<br>Not Claimed  | Certified Copy Attached? |                          |
|--|---------|-------------------------------------|--------------------------|--------------------------|--------------------------|
|  |         |                                     |                          | YES                      | NO                       |
|  |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|  |         |                                     | <input type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

☐ Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

Please type a plus sign (+) inside this box → ☐


PTO/SB/01 (10-00)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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## DECLARATION — Utility or Design Patent Application

|  |  |   |  |   |  |
|--|--|---|--|---|--|
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| Name   |  | 23543   |  |   |  |
|  |  | Air Products and Chemicals, Inc.  |  |   |  |
| Address  |  |   |  |   |  |
| Address  |  |   |  |   |  |
| City   |  | State   |  | ZIP   |  |
| Country  |  | Telephone   |  | Fax   |  |
| <p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p> |  |   |  |   |  |
| NAME OF SOLE OR FIRST INVENTOR :   |  | <input type="checkbox"/> A petition has been filed for this unsigned inventor     |  |   |  |
| Given Name<br>(first and middle (if any))  |  | Family Name<br>or Surname   |  |   |  |
| John Joseph  |  | Rabasco   |  |   |  |
| Inventor's<br>Signature  |  | <i>John Joseph Rabasco</i>  |  | 27 November 2001<br>Date                              |  |
| Residence: City  |  | PA<br>State   |  | USA<br>Country  |  |
| Allentown  |  |   |  | USA<br>Citizenship                                    |  |
| Mailing Address  |  |   |  |   |  |
| 268 Alexander Drive  |  |   |  |   |  |
| Mailing Address  |  |   |  |   |  |
| City   |  | PA<br>State   |  | 18104<br>ZIP  |  |
| Allentown  |  |   |  | USA<br>Country  |  |
| NAME OF SECOND INVENTOR:   |  | <input type="checkbox"/> A petition has been filed for this unsigned inventor     |  |   |  |
| Given Name<br>(first and middle (if any))  |  | Family Name<br>or Surname   |  |   |  |
| Dennis   |  | Sagl  |  |   |  |
| Inventor's<br>Signature  |  | <i>Dennis Sagl</i>  |  | 28 November 2001<br>Date                              |  |
| Residence: City  |  | PA<br>State   |  | USA<br>Country  |  |
| Fogelsville  |  |   |  | USA<br>Citizenship                                    |  |
| Mailing Address  |  |   |  |   |  |
| 8734 Summit Circle   |  |   |  |   |  |
| Mailing Address  |  |   |  |   |  |
| City   |  | PA<br>State   |  | 18051<br>ZIP  |  |
| Fogelsville  |  |   |  | USA<br>Country  |  |
| <input type="checkbox"/> Additional inventors are being named on the _____ supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.  |  |   |  |   |  |

Please type a plus sign (+) inside this box → ☐

PTO/SB/81 (02-01)

Approved for use through 10/31/2002, OMB 0651-0035

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## POWER OF ATTORNEY OR AUTHORIZATION OF AGENT

|                        |                        |
|------------------------|------------------------|
| Application Number     |                        |
| Filing Date            |                        |
| First Named Inventor   | Rabasco, et al.        |
| Title                  | Polymer Emulsion . . . |
| Group Art Unit         |                        |
| Examiner Name          |                        |
| Attorney Docket Number | 6062P USA              |

I hereby appoint:

☒ Practitioners at Customer Number

OR

☐ Practitioner(s) named below:

| Name | Registr. |
|------|----------|
|      |          |
|      |          |
|      |          |
|      |          |



**23543**

Air Products and Chemicals, Inc.

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please change the correspondence address for the above-identified application to:

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OR

☐ Practitioners at Customer Number

OR

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| <input type="checkbox"/> Firm or<br>Individual Name |       |     |  |
| Address   |       |     |  |
| Address   |       |     |  |
| City  | State | Zip |  |
| Country   |       |     |  |
| Telephone   | Fax   |     |  |

I am the:

☐ Applicant/Inventor;

☒ Assignee of record of the entire interest. See 37 CFR 3.71.  
*Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).*

### SIGNATURE of Applicant or Assignee of Record

|           |                  |
|-----------|------------------|
| Name      | Kenneth M. Kem   |
| Signature |                  |
| Date      | 29 November 2001 |

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

☒ \*Total of 1 forms are submitted.

Burdan Hour Statement: This form is estimated to take 3 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**EXPRESS ABANDONMENT UNDER 37 CFR 1.138**

Docket Number (Optional)

06062 USA

To:

Assistant Commissioner for Patents  
Washington, DC 20231

In re Application of

Rabasco, et al.

Application Number

09/656,318

Filed

September 6, 2000

For

Polymer Emulsion Preservation Using Cationic ...

Art Unit

1714

Examiner

V. Hoke

Please check only one of boxes 1-3 below:

(If no box is checked, this paper will be treated as a request for express abandonment as of the filing date of this paper.)

1. ☐ **Express Abandonment**

I request that the above-identified application be expressly abandoned as of the filing date of this paper.

2. ☒ **Express Abandonment in Favor of a Continuing Application**

I request that the above-identified application be expressly abandoned as of the filing date accorded the continuing application filed herewith.

3. ☐ **Petition for Express Abandonment to Avoid Publication under 37 CFR 1.138(c)**

I hereby petition to expressly abandon the above-identified application to avoid publication.

NOTE: The application will be published in regular course unless the petition is recognized by the Pre-Grant Publication Division in sufficient time to avoid publication (e.g., more than four (4) weeks prior to the projected publication date).

**Petition Fee** – must be filed with petition to avoid delays in recognizing the petition.a. ☒ The Commissioner is hereby authorized to charge the petition fee under 37 CFR 1.17(h) to Deposit Account No. 01-0493.b. ☐ Check in the amount of \$ \_\_\_\_\_ is enclosed.c. ☐ Payment by credit card (Form PTO-2038 is enclosed).Fax the petition directly to the Pre-Grant Publication Division at (703) 305-8568 or Mail the petition to the above address directed to **Box PGPub-ABD**.**NOTE:** A paper requesting express abandonment of an application is not effective unless and until an appropriate USPTO official recognizes the paper. See MPEP 711.01. In addition, the paper will not stop publication of the application unless a petition under 37 CFR 1.138(c) is recognized by the Pre-Grant Publication Division in sufficient time to avoid publication.I am the: ☐ applicant.☐ assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

☒ attorney or agent of record.☐ attorney or agent acting under 37 CFR 1.34(a) (may act only if box 2 above, stating that the application is expressly abandoned in favor of a continuing application, is checked). Attorney or agent registration number if acting under 37 CFR 1.34(a). \_\_\_\_\_

(Attorney or agent registration number)

Mary E. Bongiorno  
Signature29 Nov. 2001  
DateMary E. Bongiorno

Typed or printed name

\* Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

\* ☐ Total of \_\_\_\_\_ forms are submitted.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Rabasco, et al.

Application No./Patent No.: \_\_\_\_\_ Filed/Issue Date: \_\_\_\_\_

Entitled: Polymer Emulsion Preservation Using Cationic Compounds

Air Products Polymers, L.P., a limited partnership

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or  
2. ☐ an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the United States Patent and Trademark Office at Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.  
[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

29 November 2001

Date

Kenneth M. Kem

Typed or printed name

Kenneth M. Kem

Signature

Vice President, Technology

Title

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# EXPRESS ABANDONMENT UNDER 37 CFR 1.138

Docket Number (Optional)  
06062 USA

To:  
Assistant Commissioner for Patents  
Washington, DC 20231

In re Application of  
Rabasco, et al.  
Application Number  
09/656,318  
Filed  
September 6, 2000  
For  
Polymer Emulsion Preservation Using Cationic ...  
Art Unit  
1714  
Examiner  
V. Hoke

Please check only one of boxes 1-3 below:  
(If no box is checked, this paper will be treated as a request for express abandonment as of the filing date of this paper.)

- ☐ **Express Abandonment**  
I request that the above-identified application be expressly abandoned as of the filing date of this paper.
- ☒ **Express Abandonment in Favor of a Continuing Application**  
I request that the above-identified application be expressly abandoned as of the filing date accorded the continuing application filed herewith.
- ☐ **Petition for Express Abandonment to Avoid Publication under 37 CFR 1.138(c)**  
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- ☐ Check in the amount of \$\_\_\_\_\_ is enclosed.
- ☐ Payment by credit card (Form PTO-2038 is enclosed).

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☐ assignee of record of the entire interest. See 37 CFR 3.71.  
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)  
☒ attorney or agent of record.  
☐ attorney or agent acting under 37 CFR 1.34(a) (may act only if box 2 above, stating that the application is expressly abandoned in favor of a continuing application, is checked). Attorney or agent registration number if acting under 37 CFR 1.34(a). \_\_\_\_\_  
(Attorney or agent registration number)

Mary E. Bongiorno  
Signature

29 Nov. 2001  
Date

Mary E. Bongiorno

Typed or printed name

\* Note: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below\*.

\* ☐ Total of \_\_\_\_\_ forms are submitted.

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